


<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	209665US2
	First Inventor or Application Identifier	Seiichi MORI
	Title	SEMICONDUCTOR MEMORY INTEGRATED CIRCUIT AND ITS MANUFACTURING METHOD
jc860 U.S. PTO 	Assignee Name:	KABUSHIKI KAISHA TOSHIBA
	Assignee Address	72, Horikawa-cho, Saiwai-ku, Kawasaki-shi, Kanagawa-ken, JAPAN

06/08/01  
JP 971 U.S. PTO  
09/876019



<b>06/08/01</b> <b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents</small>	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification Total Sheets <b>36</b></p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) Total Sheets <b>41</b> <b>Formals</b></p> <p>4. <input type="checkbox"/> Oath or Declaration Total Pages <input type="text"/></p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation / divisional w/ box 17 completed)</p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).</p> <p>5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification or Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> Paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>	<b>ACCOMPANYING APPLICATION PARTS</b> <p>7. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>8. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> <p>9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>12. <input type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>15. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>16. <input checked="" type="checkbox"/> Other: Notice of Priority, List of Inventor's Name and Address, IDS/Related/List of Related Cases, Cited Pending Applications (1)</p>

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

☐ Prior application information: Examiner: Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

18. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
of application Serial No. Filed on

☐ Which was published in English

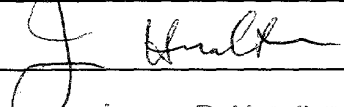
☐ Which was not published in English

☐ This application claims priority of provisional application Serial No. Filed

**19. CORRESPONDENCE ADDRESS**



**22850**  
(703) 413-3000  
FACSIMILE: (703) 413-2220

Name:	Marvin J. Spivak	Registration No.:	24,913
Signature:		Date:	6-8-01
Name:	James D. Hamilton	Registration No.:	

Registered No. 28,421

Docket No. 209665US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Seiichi MORI

SERIAL NO: New Application

FILING DATE: Herewith

FOR: SEMICONDUCTOR MEMORY INTEGRATED CIRCUIT AND ITS MANUFACTURING METHOD

FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	20 - 20 =	0	× \$18 =	\$0.00
INDEPENDENT CLAIMS	6 - 3 =	3	× \$80 =	\$240.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$270 =	\$0.00
<input checked="" type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$130.00
BASIC FEE				\$710.00
TOTAL OF ABOVE CALCULATIONS				\$1,080.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$1,080.00

Please charge Deposit Account No. 15-0030 in the amount of

A duplicate copy of this sheet is enclosed.

A check in the amount of **\$1,080.00** to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030.

A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

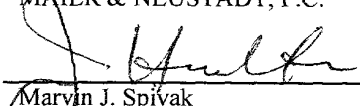
OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Date: 6-8-01



**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/00)

  
Marvin J. Spivak  
Registration No. 24,913

James D. Hamilton  
Registration No. 28 424

Docket No. 209665US2

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Seiichi MORI

FILING DATE: Herewith

FOR: SEMICONDUCTOR MEMORY INTEGRATED CIRCUIT AND ITS MANUFACTURING METHOD

**LIST OF INVENTOR'S NAME AND ADDRESS**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Listed below are the name and address of the inventor for the above-identified patent application.

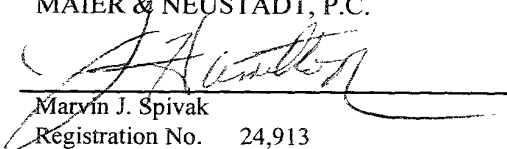
Seiichi MORI

Ota-ku, JAPAN

A declaration containing all the necessary information will be submitted at a later date.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Marvin J. Spivak

Registration No. 24,913



**LIST OF RELATED CASES**

<u>Docket Number</u>	<u>Serial or Patent No.</u>	<u>Filing or Issue Date</u>	<u>Status or Patentee</u>
PER CLIENT	09/527,870	03/17/00	UNKNOWN

09076019 060801  
T08090" 6T09/2860